

JCWSCS 14 JUN 2004

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**Facsimile Transmittal Sheet**

DATE • June 14, 2004

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NAME • Office of Initial Patent Examination - Filing Receipt Corrections  
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FAX • (703) 746-9195  
CLIENT / MATTER • 09792909.5873  
FROM • Lara Dickey Lewis  
SERIAL NO. • 10/797,310  
DIRECT DIAL • 816.460.2516  
TOTAL NUMBER OF PAGES TRANSMITTED, INCLUDING THIS SHEET: 7

MESSAGE •

I hereby certify that the following documents are being facsimile transmitted to the Office of Initial Patent Examination - Filing Receipt Corrections, United States Patent and Trademark Office, Fax No. 703-746-9195 on June 14, 2004:

Request for Corrected Filing Receipt (2 pgs); Annotated copy of filing receipt (2 pgs); Copy of Application Transmittal Form (1 pg); Credit Card Payment Form (1 pg)

Connie A. Mills

Connie A. Mills

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Original will NOT be mailed

**CONFIDENTIALITY NOTE**

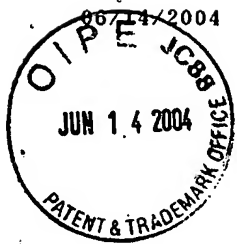
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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No. : 10/797,310 Confirmation No. 4451  
Applicant : YASUHITO INAGAKI et al.  
Filing Date : March 10, 2004  
TC/A.U. : 1713  
Examiner : not yet assigned  
Title : METHOD FOR PRODUCING A  
HIGH-MOLECULAR WEIGHT  
FLOCCULANT

Docket No. : 09792909.5873  
Customer Number : 26263

## REQUEST FOR CORRECTED FILING RECEIPT

VIA FACSIMILE (703) 746-9195  
Office of Initial Patent Examination  
Filing Receipt Corrections  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Applicant respectfully requests the issuance of a corrected filing receipt for the above-identified application deleting the claim of small entity status that was apparently entered pursuant to 37 C.F.R. § 1.28(c)(3). A copy of the original filing receipt with the requested changes shown thereon is attached hereto. Applicant is not a small entity and did not assert small entity status in its Application Transmittal Form. A copy of the Application Transmittal Form is attached hereto. Applicant did, however, inadvertently select small entity filing fees for payment. Accordingly, in accordance with 37 C.F.R. § 1.28(c)(3)(i), Applicant submits herewith a credit card payment form in the amount of \$515.00 to cover the surcharge of \$130.00 as set forth in 37 C.F.R. § 1.16(e) and the fee deficiency as set forth below:

## FEE DEFICIENCY:

Filing Date of Original Paper/Fee	Type of fee paid	Current Fee Amount as Large Entity	Amount Originally Paid	Deficiency
03/10/2004	Basic Filing Fee	\$770.00	\$385.00	\$385.00

06/22/2004 CNGUYEN 00000142 10797310

01 FC:1001 770.00 OP  
02 FC:1051 130.00 OP

2118301ZV-1

The Office of Initial Patent Examination is encouraged to contact the undersigned should any additional information be required at 816-460-2516. The Commissioner is hereby authorized to charge any fees associated with this communication not covered by the accompanying credit card payment or credit any overpayment to Deposit Account No. 19-3140.

Respectfully submitted,

SONNENSCHN NATH & ROSENTHAL LLP

By: Lara Dickey Lewis  
Lara Dickey Lewis, Reg. No. 48,161  
Attorneys for Applicant

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## UNITED STATES PATENT AND TRADEMARK OFFICE



UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
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 Alexandria, Virginia 22313-1450  
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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
✓ 10/797,310	✓ 03/10/2004	1713	385	✓ 09792909.5873	✓ 1	✓ 6	✓ 1

CONFIRMATION NO. 4451

26263

SONNENSCHN NATH & ROSENTHAL LLP  
 P.O. BOX 061080  
 WACKER DRIVE STATION, SEARS TOWER  
 CHICAGO, IL 60606-1080

## FILING RECEIPT



\*OC000000012782048\*

Date Mailed: 05/26/2004

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Yasuhito Inagaki, Kanagawa, JAPAN; ✓  
 Haruo Watanabe, Kanagawa, JAPAN; ✓  
 Tsutomu Noguchi, Kanagawa, JAPAN; ✓

## Domestic Priority data as claimed by applicant

This application is a DIV of 09/935,516 08/23/2001 ✓  
 which is a DIV of 09/059,251 04/14/1998 PAT 6,316,507 ✓

## Foreign Applications

JAPAN P09-098584 04/16/1997 ✓  
 JAPAN P09-104089 04/22/1997 ✓  
 JAPAN 10-087374 03/31/1998 ✓

If Required, Foreign Filing License Granted: 05/26/2004

Projected Publication Date: 09/02/2004

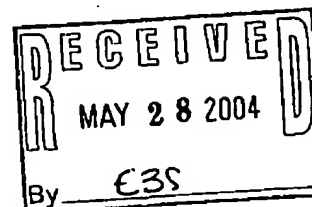
Non-Publication Request: No

Early Publication Request: No

\*\*SMALL ENTITY\*\*

LARGE

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**Title**

✓ Method for producing a high-molecular weight flocculant

**Preliminary Class**

526

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.:	09792909.5873
First Named Inventor:	YASUHIRO INAGAKI
Title:	METHOD FOR PRODUCING A HIGH MOLECULAR WEIGHT FLOCCULANT
Express Mail Label No.	EL 716465227 US
Date of Deposit:	03/10/2004

## APPLICATION ELEMENTS

See MPEP chapter 800 concerning utility patent application contents.

1. ☒ This Form includes the Fee Transmittal (See Box 19)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status. (See 37 CFR 1.27)
3. ☒ Specification [Total Pages 53]
4. ☒ Drawing(s) (35 USC 113) [Total Sheets 1]
5. ☒ Declaration and Power of Attorney [Total Pages 2]  
  - a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
  - c. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76
7. ☐ CD-ROM or CD-R in duplicate

ADDRESS TO: MAIL STOP PATENT APPLICATION  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

8. ☐ Nucleotide and/or Amino Acid Sequence Submission
  - a. ☐ Computer Readable Form (CRF)
  - b. ☐ Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R in duplicate; or
    - ii. ☐ paper
  - c. ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
15. ☒ Certified copy of Japanese Priority Document: Document No. \_\_\_\_\_, filed on \_\_\_\_\_
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: Certificate of Express Mailing

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application no.: 09/935516  
 Prior application information: Examiner Name: Bernard Lipman Group Art Unit: 1713

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 6b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. FEE CALCULATIONS:

CLAIMS	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) BASIC FEE
					\$385.00
	TOTAL CLAIMS	6	0	\$9.00	\$0
	INDEPENDENT CLAIMS	1	0	\$43.00	\$0
	ANY MULTIPLE DEPENDENT CLAIMS? <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO			\$145.00	\$0
				SUBTOTAL	\$385.00

- a. ☒ In connection with this application, the Commissioner is hereby authorized to credit overpayments or to charge any additional fee required to Deposit Account No. 19-3140. A duplicate copy of this sheet is enclosed.
- b. ☒ The enclosed credit card payment form to charge the amount of \$425.00 covers the total claim fee and recordation fee.

20. ☒ CUSTOMER NO. 26263

Dated: 03/10/2004

SIGNATURE:

Lara Dickey Lewis  
Lara Dickey Lewis, (Reg. No. 48,161)